

# Standard Form 278 Executive Branch Personnel PUBLIC FINANCIAL DISCLOSURE REPORT

## Instructions for Completing SF 278

### I. Introduction

#### Reporting Periods

**Incumbents:** Complete Schedules A, B, C, and Part I of D. The reporting period is the preceding calendar year, except Part II of Schedule C and Part I of Schedule D where you must also include any positions held and agreements or arrangements made from the beginning of the filing year until the date you file. Schedule B need not include transactions made, or gifts or reimbursements received, during a period when the filer was not a Federal

**Termination Filers:** Complete Schedules A, B, C, and Part I of D. The reporting period begins at the end of the period covered by your previous filing and ends at the date of termination of Government employment in the

**Nominees, New Entrants and Candidates for President and Vice President:** Complete Schedules A, C, and D (candidates do not file Part II of Schedule D),

• **Schedule A** - The reporting period for income (BLOCK C) is the preceding calendar year and the current calendar year up to the date of filing. Value assets in BLOCK B as of any date you choose that is

• **Schedule C, Part I** (Liabilities) - The reporting period is the preceding calendar year and the current calendar year up to any date you choose that is less than 31 days before the date of filing.

• **Schedule C, Part II** (Agreements or Arrangements) - Show any agreements or arrangement as of the date of filing

• **Schedule D** - The reporting period is the preceding two calendar years and the current calendar year up to the date of filing

#### Scope of Disclosure

The extent of the reporting requirement is noted in each schedule. The various schedules of this form require reporting of your financial interests and activities, both in the U.S. and abroad, except as otherwise noted. In addition to your individual financial information, you are required to report information concerning your spouse and dependent children in several schedules of the form. However, no report is required with respect to your spouse if he or she is living separate and apart from you with the intention of terminating the marriage or providing for permanent separation. In addition, no report is required with respect to any income or obligations of an individual arising from the dissolution of marriage or permanent separation from a spouse. There are other exceptions to the reporting of assets and income, transactions, and liabilities of a spouse or

A basic premise of the statutory financial disclosure requirements is that those having responsibility for review of reports filed pursuant to the Ethics in Government Act or permitted public access to reports must be given sufficient information by reporting individuals concerning the nature of their outside interests and activities so that an informed judgment can be made with respect to compliance with applicable conflict of interest laws and standards of conduct regulations. Therefore, it is important that you carefully complete the attached form. This report is a safeguard for you as well as the Government, in that it provides a mechanism for determining actual or potential conflicts between your public responsibilities and your private interests and activities and allows you and your agency to fashion appropriate protections against such conflicts

A Presidential nominee and consent of the Senate committee considering the initial report, which income and honoraria earlier than 5 days before the Senate committee he update shall be provided to the Senate committee con shall be provided to

#### Definitions

##### • Category of Amount

Reportable financial interest by actual amount or by category of the interest, as specified in the form. Specifics are not required to, and the form provides for a category

##### • Dependent Child

The term "dependent child" means a stepson, or stepdaughter, unmarried, under age 21, or a "dependent" of you as defined in Section 152 of the Internal Revenue

##### • Excepted Investment

An excepted investment is a trust fund of a bank, partnership, plan, or any other investment held; publicly traded (open) and under circumstances where you have no control over nor have the financial interests have been diversified when it holds more than 10 percent of its portfolio in the securities of the U.S. Government or a particular economic or

- **Gifts**

See instructions for Schedule B, Part II.B.

- **Honoraria**

The term "honoraria" means payments of money or anything of value to you and your spouse for an appearance, speech, or article, excluding necessary travel expenses. See 5 U.S.C. app. § 505(3).

- **Personal Savings Account**

The term "personal savings account" includes a certificate of deposit, a money market account, or any other form of deposit in a bank, savings and loan association, credit union, or similar financial institution.

- **Trusts ("Qualified" and "Excepted")**

See instructions for Schedule A, Part II.B., and 5 C.F.R. Part 2634, Subpart D.

- **Value**

You may use any one of the methods described below, in determining fair market value:

Option 1 - any good faith estimate of the value of the property if the exact value is unknown or not easily obtainable;

Option 2 - value based upon a recent appraisal of the property interest;

Option 3 - the purchase price of your property interest, or estimated retail price of a gift;

Option 4 - the assessed value of the property for tax purposes, adjusted to reflect current market value if the tax assessment is computed at less than 100% of current value;

Option 5 - the year-end book value of non-publicly traded stock, or the year-end exchange value of corporate stocks, or the face value of corporate bonds or comparable securities;

Option 6 - the net worth of your interest (as in a business partnership or other jointly held business interest);

Option 7 - the equity value of your interest (as in a solely owned business or commercial enterprise); or

Option 8 - exact value (e.g., personal savings accounts) or any other recognized indication of value (such as last sale on a stock exchange).

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## **II. Who Must File**

a. Candidates for nomination or election to the office of President or Vice President.

b. Presidential nominees to positions requiring the advice and consent of the Senate, other than those nominated for judicial office or as a Foreign Service Officer or for appointment to a rank in the uniformed services at a pay grade of O-6, or below.

c. The following newly elected or appointed officials:

- The President;

- The Vice President;

- Officers and employees (including special Government employees, as defined in 18 U.S.C. § 202) whose positions are classified above GS-15 of the General Schedule, or the rate of basic pay for which is fixed, other than under the General Schedule, at a rate equal to or greater than 120% of the minimum rate of basic pay for GS-15 of the General Schedule.

- Members of the uniformed services in pay grade O-7 or above;

- Officers or employees determined by the Director of the Office of Management and Enterprise Ethics to be of equal class or grade;

- Administrative law judges;

- Employees in the executive branch who are of a confidential or policymaking position by regulation their position is equivalent to that of a Director of the Office of Management and Enterprise Ethics;

- The Postmaster General, each Governor or Chief Justice of a U.S. Postal Service and Postal Service or Postal Service office for which the rate of basic pay is at least 120% of the minimum rate of basic pay for GS-15 of the General Schedule;

- The Director of the Office of Management and Enterprise Ethics for each designated agency;

- Civilian employees of the President (other than those who hold commissions in the armed forces or the Coast Guard or the National Aeronautics and Space Administration);

d. Incumbent officials in positions covered by section II.c. of these instructions for 61 days or more in the calendar year.

e. Officials who have transferred to a position referred to in section II.c. of these instructions from another such position within 61 days of the transfer.

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## **III. When to File**

a. Within 30 days after nomination or election to the office of President or Vice President.

g. Fee for Late Filing. Any individual who is required to file this report and does so more than 30 days after the date the report is required to be filed, or, if an extension is granted, more than 30 days after the last day of the filing extension period, shall be subject to a \$200 late filing fee. A report is considered to be filed when it is received by the agency. Unless waived by OGE, such fee will be collected by the filer's agency, for deposit with the U.S. Treasury.

- a. This form consists of the front page and four Schedules. If possible, use a black ink pen or typewriter to fill out your report. You must complete each Part of all Schedules as required. If you have no information to report in any Part of a Schedule, you should indicate "None." If you are not required to complete Schedule B or Part II Schedule D, you should leave it blank. Schedule A combines a report of income items with the disclosure of certain property interests. Schedule B deals with transactions in real property or certain other assets, as well as gifts and reimbursements. Schedules C and D relate to liabilities and employment relationships. After completing the first page and each Part of the Schedules (including extra sheets of any Schedule where continuation pages are required for any Part), consecutively number all pages.

- e. In the case of referen trades or businesses w you must provide suf private entities to give report an adequate b required by the Act. location and primar; entities, as well as attr solely incidental to su For instance, if your corporation incurs a li house for investment business, you will hav investment as part of family corporation.

f. In the case of references to entities which are investment funds such as mutual or pension funds (whether public or private), you must disclose the portfolio holdings and all other items such as transactions and liabilities to the extent otherwise required for reportable interests, unless the entity is an "excepted investment fund." See Definition of Terms above.

g. If you need assistance in completing this form, contact the designated agency ethics official of the agency in which you serve, will serve, or have served.

## Schedule A

### I. General Instructions

Two of the general disclosure requirements of the Act concern certain interests in property (generally referred to here as assets) and items of income. Schedule A is designed to enable you to meet both of these reporting requirements. Generally a description of your, your spouse's, and your dependent child's assets and sources of income is required to be listed in BLOCK A of the Schedule. Reading from left to right across the page from each description of the asset or income source, you will be able to report in BLOCK B the value of each asset, and in BLOCK C the type and amount of income generated by that asset or received from the non-asset source.

On Schedule A are four examples which are representative of the reporting scheme of this Schedule. The first example represents the proper method of reporting stock of Central Airlines Company held at the end of the reporting period which then had a value of \$75,000. The individual had also received dividends of \$1,500, reported in BLOCK C. If the Central Airlines stock had been sold, there would be a check in the "None (or less than \$1,001)" column in BLOCK B if the individual no longer owned any of the stock at the end of the reporting period, and there would be an entry for capital gains as well as dividends in BLOCK C if they were realized

the proper method of reporting the source of \$130,000 of earned income from private law practice, as well as \$18,500 the reporting individual maintained in the capital account in the law firm at the end of the reporting period.

The third example represents acceptable reporting of an investment fund which is widely held, widely diversified (or publicly traded) and independently managed. Because it meets these requirements, no individual assets of the fund need to be reported, and the type of income does not need to be broken into dividends, interest, or capital gains as long as the column for "excepted investment fund" is marked. The fourth example reports a mutual fund held in an IRA from which the filer has accrued dividends of \$10,000.

Normally you will have to list an item only once in BLOCK A with all other value and income information associated with that item shown on the same line to the right. However, when you have a number of different kinds of financial arrangements and income involving one entity, a full disclosure of all the required information for that entity may require more than one line. You may always use more than one line for clarification if you choose.

### II. Property Interests and Assets

#### (BLOCKS A and B)

#### A. Items to Report

Report the identity and category of valuation of any interest in property (real or personal) held by **you, your spouse or dependent child** in a trade or business, or for investment or the production of income which has a fair market value which **exceeds \$1,000** as of the close of the reporting period. These interests include, but are not limited to, stocks, bonds, pension interests and annuities, futures contracts, mutual funds, IRA assets, tax shelters, beneficial interests in trusts, personal savings or other

bank accounts, real estate accounts or other funds held for resale or investment, personal residence (unlike a liability owed to you, by a spouse or dependent sister or child of you, Exclude any retiree's Savings Plan) from Federal and any social security deposits aggregating \$5

With respect to assets, do not report items:

- (1) which represent your sole financial interest or have no knowledge;
- (2) which are not in a form from your income, assets
- (3) from which you need any financial or economic

**Note:** It is very difficult to complete three parts of this test. If you file a joint tax return, you are charged with knowledge of financial or economic benefits for the education of your children. A financial benefit to income items do not fit

A personal residence held for income, such as a sale of the year, must be reported

Intermittent sales from collections of antiques or art items are held for income and should therefore

## B. What to Show on the Form

Enter the identity of the asset in BLOCK A and then show the value in BLOCK B. **Only the category of value, rather than the actual value of the property interest or asset,** must be shown. You need not disclose which valuation methods you used.

**For assets such as stocks, bonds, and securities,** report any holdings directly held or attributable to **you, your spouse or dependent child** from one source totaling more than \$1,000 in value. **Identify the holding and show the category of value.** If you hold different types of securities of the same corporation (e.g., bonds and stocks of "X" Corporation), these holdings should be considered as being from the same source for purposes of determining whether the aggregate value of the interest is below or above the \$1,000 threshold value. Report personal savings accounts only if they aggregate more than \$5,000 in a single financial institution. If you have an interest in an investment fund or pool which is an "excepted investment fund" (see Definition of Terms above), you need only identify the interest by giving the complete name of the fund, rather than identifying the underlying assets as well.

**To report interests of you, your spouse, or dependent child in a business, a partnership, or joint venture, or the ownership of property held for investment or the production of income, identify the character of the ownership interest, and the nature and location of the business or interest, unless it is a publicly traded security.** For example, the entry for a holding of farm land might show, under BLOCK A... "sole ownership of 100 acres of unimproved dairy farmland on Rural Route #1 at Pine Bluff, Madison County, Wisconsin." You must disclose the primary trade or business of non-public entities, as well as interests and activities not solely incidental to such a trade or business. For

example, if your family is involved in a private real estate investment business but as a side interest buys stock through the business in a bank, you must disclose that in addition to real estate (by type and general location), the family business holds an interest in a bank.

For an IRA (Individual Retirement Account), indicate the value of each underlying asset, as well as the income derived therefrom (even though deferred for Federal tax purposes) in accordance with section IV below, to enable the reviewer to evaluate compliance with applicable laws and regulations. If the IRA were invested solely in a mutual fund such as "Templeton World Fund, Inc." and the investment properly disclosed in Schedule A, that would be sufficient identification of the asset, since for most reporting individuals that fund would be an "excepted investment fund." If, however, the IRA had an individual or privately managed portfolio, detailed disclosure of the portfolio would be required on Schedule A in the same amount of detail as if each investment were directly held.

**With respect to trusts in which a vested beneficial interest in principal or income is held, or as to which you serve as trustee, report trust interests and trust assets which had a value in excess of \$1,000.** See 5 C.F.R. Part 2634 for more information about vested interests.

You need not report the identity of assets of a trust of which you, your spouse or dependent children are the beneficiaries if the interest is:

1. a "qualified blind trust" or "qualified diversified trust," which has been certified by the Office of Government Ethics, in accordance with 5 C.F.R. Part 2634, Subpart D, or
2. an "excepted trust," that is, one which:

A. was not created by you or your spouse or dependent children, and

B. has holdings or s  
your spouse and depen

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### III. Earned and Other Non-Investment Income

#### (BLOCKS A and C)

##### A. Items to Report

For yourself, report the identity of the source in BLOCK A and the type and **actual** amount in BLOCK C of non-investment income **exceeding \$200** from any one source. Such income includes fees, salaries, commissions, compensation for personal services, retirement benefits, and honoraria. Report these items on the same line as related interests in property, if any.

**For your spouse, report the source, but not the amount,** of non-investment income exceeding \$1,000 and the source, amount and date of honoraria exceeding \$200 from any one source. **No report of the earned or other non-investment income of your dependent children is required.**

**Exclude** for yourself and spouse income from employment by the United States Government and from any retirement system of the United States (including the Thrift Savings Plan) or from social security.

##### B. What to Show on the Form

**1. HONORARIA** - For **you or your spouse**, show honoraria aggregating more than \$200 from any one source. Report the **identity of the source** in BLOCK A, and the **date** of the services performed and **actual amount** in BLOCK C. List each honorarium separately. For example, if, prior to your Government service, you received \$1,500 for a speech before the Chicago Civic Club on March 19, 1999 of which \$200 was actually spent for round-trip travel, and \$200 went to the agent who made the speaking arrangement, on your new entrant report you would enter in BLOCK A... "Chicago Civic Club, 18 Lakeshore Dr., Chicago, IL"; in BLOCK C under OTHER (specify type)... "Honorarium"; for

ACTUAL AMOUNT... "\$1,100," and under DATE... "3/19/99." Honoraria received and donated to charity must be reported, but a notation explaining that fact may be included in reporting such items. The source, date and amount of payments made or to be made directly to a charitable organization in lieu of honoraria must also be disclosed.

##### 2. EARNED AND OTHER NON-INVESTMENT

**INCOME** - Include all income, exclusive of honoraria, from non-investment sources including fees, commissions, salaries, and income from personal services or retirement. Report the **identity of the source and give the actual amount of such income** exceeding \$200 from any one source. For example, if you earned \$450 teaching at a law school, enter in BLOCK A... "John Jones Law School, Rockville, MD"; in BLOCK C under OTHER... "Salary"; and under ACTUAL AMOUNT... "\$450." If you earned \$75 for teaching in one law school and \$250 from teaching at another school, report only the \$250 amount. Report employee benefits and severance payments which meet the reporting requirements separately from salary.

**If your spouse** has earned income in excess of \$1,000 (other than honoraria) from any one source, **identify the source but show nothing under amount.** If your spouse is self-employed in a business or profession, for example as a practicing psychologist who earned \$10,500 during the year, you need only show under BLOCK A... "practicing psychologist."

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### IV. Investment Income

#### (BLOCKS A and C)

Report items of investment income on the same line of Schedule A as the related property interest or other asset from which income is derived. Note that some property interests or other assets will not have a related item of income. In such a case, check "None (or less than \$201)" in BLOCK C under category of amount.

##### A. Items to Report

Report the identity in BLOCK A and the type and **actual** amount in BLOCK C of any in any one source receive **you, your spouse or dependent child** during the reporting period. For **you or your spouse** you must aggregate all that same source. For such income is only report if the source meets the report requirements. Investment income includes income derived from dealing in securities, royalties, dividends, capital gains, the investment portion of annuities, endowment contract payments, partnership or joint venture income, and income from other sources. You need not show income from qualified plans, IRAs, and other tax-qualified accounts excepted investment income, you need only the item reported. For each item described in item 7 be reported, indicate the actual dollar amount and the type in BLOCK C (Specify Type & Actual Amount).

##### B. What to Show on the Form

**Check all applicable corresponding categories.** For each type of income is described in all relevant types (unless otherwise specified) and categories of amount distinguished by using the boxes, in lieu of rents/royalties, interest

**1. DIVIDENDS** - Show in BLOCK C the amount **you, your spouse or dependent child** accrued or received as dividends from investment sources including common and preferred securities and underlying assets of pensions and mutual funds (unless an excepted investment fund). **Identify the source of such income and check the category of amount.** For example, if cash dividends of \$950 were received for shares of common stock of IBM, enter in BLOCK A... "IBM common" and in BLOCK C check that dividend income was received and check the appropriate category of amount.

**2. RENTS AND ROYALTIES** - Show income accrued or received by **you, your spouse or dependent child** as rental or lease payments for occupancy or use of personal or real property in which any one of you has an interest. In addition, show payments accrued or received from such interests as copyrights, royalties, inventions, patents, and mineral leases or other interests. **Identify the source of such income and check the category of amount.** For example, if you received \$2,000 as rental income from an apartment building in Miami, Florida, enter in BLOCK A... "apartment building at 5802 Biscayne Blvd., Miami, FL," and in BLOCK C check that rental income was received and check the appropriate category of amount.

**3. INTEREST** - **Identify the source and the category of amount** of any interest accrued or received by **you, your spouse or dependent child** as income from investment holdings including: bills and notes, loans, personal savings accounts, annuity funds, bonds, and other securities. For example, if you earned \$300 in interest during the calendar year on a Savings Certificate with Federal Savings and Loan, enter in BLOCK A... "Federal Savings and Loan (Baltimore, MD)-Savings Certificate," and in BLOCK C check that interest income was received and check the appropriate category of amount.

**4. CAPITAL GAINS** - Report income from capital gains realized by **you, your spouse or dependent child** from sales or exchanges of property, business interests, partnership interests or securities. **Identify the source**

**and check the category of amount of the gain.** An example of an entry in BLOCK A might be "sale of one-third interest in 100-acre farm in Hamilton County, Iowa" and in BLOCK C check that capital gains were received and check the appropriate category of amount.

**5. INVESTMENT FUND INCOME** - **Identify the fund and the category of amount and the type(s) of income** from investment funds such as mutual or pension funds for **you, your spouse or dependent child**. This may include dividends, capital gains and interest for a single fund or income from an excepted investment fund. Income from each individual asset of the fund must also be listed, unless it is an excepted investment fund, in which case income from individual assets is not required to be listed. See Definition of Terms above for discussion of excepted investment

**6. TRUST INCOME** - Report the **category of amount and the type of income** accrued or received from any trust. Whenever you are required to identify the source of trust income, either for **yourself or for a spouse or dependent child**, it is not enough simply to say "John Jones Trust." Generally, the investment holdings of the trust, discussed above under "Property Interests and Assets," and the income derived from each holding must be identified to the same extent as if held directly. However, if the trust is a qualified trust or an excepted trust, in BLOCK A show only the identity of the trust including the date of creation, in BLOCK B the category of the total cash value of your interest (if a qualified trust), next to BLOCK C check the classification of the trust interest as a "qualified trust" or "excepted trust," and in BLOCK C show the category of amount of income attributable to you, your spouse or dependent

**7. OTHER INVESTMENT INCOME** - Report any other items of investment income exceeding \$200 and not described above, along with the specific type and **actual amount**, such as gross income from business interests, endowment or annuity contract payments, estate income, a distributive share of a partnership or joint business venture income. To identify the sources of

other investment income **for a spouse or dependent child**, the nature of the business when applicable, the type of ownership in a retail firm, such as "Chicago, IL." In BLOCK C check the applicable type of income, "share" from a partner proprietorship, and the actual amount of such income in the reporting period. If a value of greater than \$200 does not produce more than \$200 in the reporting period, check "None" listing the actual amount.

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## I. Part I-Transaction

### A. General Instructions

**This part is to be completed by all filers except termination filers or filers who are not required to file a return.** Report the change of any real property, excepted investment securities by **you, your spouse or dependent child** when the amount involved exceeds \$1,000. Also, indicate whether the income is from a certificate of deposit to permit delayed recognition of income on certificate information on certificate Part 2634, Subpart J.) or exchange of an asset exceeding \$1,000 when the sold asset has income of more than \$1,000 reported on Schedule A asset involving an amount of more than \$1,000 at the end of the reporting period and less and earning income in the reporting period (an

Schedule A). The example on the form shows the proper way to disclose Central Airlines common stock the reporting individual purchased for \$75,000 on 2/1/99. Note that on Schedule A there is an entry for the stock as well since it was still held at the end of the reporting period.

You need not report a transaction involving (1) your personal residence (unless rented out); (2) a money market account or personal savings account; (3) an asset of your spouse or dependent child if the asset meets the three-part test set forth under the instructions for Schedule A, at II.A.; (4) a holding of a "qualified blind trust," a "qualified diversified trust," or an "excepted trust"; (5) U.S. Treasury bills, notes, and bonds; (6) transactions which occurred prior to your Federal Government employment; or (7) transactions solely by and between the reporting individual, spouse, or

You will need to report any transactions made by a non-public business or commercial enterprise, investment pool, or other entity in which you, your spouse or dependent child have a direct proprietary, general partnership or other interest unless (1) the entity is an "excepted investment fund," or (2) the transaction is incidental to the primary trade or business of the entity as indicated by you on Schedule A. (See also sections V.e. and f. of the General Instructions preceding those for Schedule A.)

## B. What to Show on the Form

Under identification of assets, identify the property or securities involved in the purchase, sale or exchange, and give the date of the transaction. For example, under IDENTIFICATION OF ASSETS... "GMC common stock"; under TYPE OF TRANSACTION... check type; under DATE... enter date transaction occurred; under AMOUNT OF TRANSACTION... check the category of value of the sale price, purchase price, or exchange value of the property involved in the transaction. You must also indicate whether an item was sold pursuant to a

certificate of divestiture issued by the Office of Government Ethics under 5 C.F.R. Part 2634, Subpart J, to permit delayed recognition of capital gain.

Where multiple transactions have occurred which involve the same asset, you may list the item once, check purchase and/or sale, and indicate... "biweekly," "throughout year," or other appropriate frequency, and the aggregate amount of the sales and purchases. Reporting an exchange generally requires reporting two items since one item is exchanged for another.

## II. Part II-Gifts, Reimbursements, and Travel Expenses

### A. General Instructions

**This Part is to be completed by incumbents and termination filers only.** The Act requires you to disclose the receipt of certain gifts, in-kind travel expenses, and travel-related cash reimbursements by **you, your spouse or dependent child** from any one source other than the U.S. Government. This reporting requirement applies to gifts and reimbursements received by your spouse or dependent child to the extent the gift was not given to him or her totally independent of the relationship to you.

### B. Items to Report

Report gifts received by **you, your spouse or dependent child** from any one source during the reporting period **aggregating more than \$260**, such as tangible items, or food, lodging, transportation, or entertainment; and travel-related cash reimbursements **aggregating more than \$260** from any one source. A "gift" means any payment, forbearance, advance, rendering or deposit of money, or anything of value, unless consideration of equal or greater value is received by the donor. In determining which gifts and reimbursements must be reported or aggregated, **exclude**

1. Anything having a value of \$104 or less;

2. Anything received from "relatives" means an ancestor, mother, son, daughter, uncle, great aunt, first wife, grandfather, granddaughter, father-in-law, daughter-in-law, brother, stepfather, stepmother, stepbrother, stepsister, spouse's grandfather or fiancée;

3. Bequests and other gifts received by an individual;

4. Food, lodging, travel, or reimbursements provided within a foreign country by the U.S. Government, or D.C., or a foreign government;

5. Food and beverages and a gift of overnight lodging;

6. Anything given to or received by a person totally independent of the reporting individual;

7. Gift items in the nature of a subscription, such as newspapers, magazines, or periodicals;

8. Gifts of hospitality (such as meals) provided by the donor's personal or official household; C.F.R. Part 2634;

9. Gifts and reimbursements received by a person during a federal employment period;

10. Reimbursements for expenses which were required to be reported on the Federal Election Campaign Report (FE-434).



## C. What to Show on the Form

**1. GIFTS - Report the identity of the source, a brief description, and the value** of gifts aggregating more than \$260 from any one source which were received by **you, your spouse or dependent child** and which do not fall within any of the categories of exclusions enumerated above.

**a. Food, Lodging, Transportation, Entertainment.**

Include travel itinerary, dates, and nature of expenses provided. To reach a more than \$260 aggregation, you determine whether any one or combination of the components within this gift category received from one source amounts to more than \$260 in value. For example, if you spent a weekend at a hunting lodge owned by AmCoal Corporation, and you received lodging fairly valued at \$150, food valued at \$115, and entertainment valued at \$125, the aggregate value of the gift is \$390. A gift of this nature - hospitality at a lodge owned by a corporation rather than an individual - would not qualify as a "personal hospitality" exclusion. To report this gift you would show, under SOURCE... "AmCoal Corp., 1210 North St., Chicago, IL"; under BRIEF DESCRIPTION... "lodging, food, and entertainment as a guest at hunting lodge owned by AmCoal, 1/25-27/99"; and under VALUE... "\$390."

**b. Other Gifts** - If you and your spouse each receive a \$175 figurine from the same donor (source), the gifts have a value of more than \$260 and must be reported. To report a gift, identify the source, briefly describe the item(s), and show the value. In the case of the figurines, report on the form under SOURCE... "Artifact Co., 153 Utah St., Omaha, NE"; and under BRIEF DESCRIPTION... "two porcelain figurines." Under VALUE... "\$350" would be shown.

**2. REIMBURSEMENTS - Report the source, a brief description (including a travel itinerary, dates, and the nature of expenses provided), and the value** of any cash reimbursements (except those from the United States Government or otherwise excluded) aggregating more than \$260 which **you, your spouse or dependent**

**child** received from any one source. For example, if you were reimbursed \$400 for travel and lodging expenses in connection with a speech you made for the Denver Realtors Association, you would report this item on the form by showing under SOURCE... "Denver Realtors Assoc., 45 Bridge St., Denver, CO"; under BRIEF DESCRIPTION... "travel expenses for speech made in Denver: United Airlines round trip from Washington, D.C. 1/22-23/00, \$275; Denver Airport Marriott, \$125"; and under VALUE... "\$400" would be shown. If your spouse made this speech and received the reimbursement totally independent of his or her relationship to you, no information for this item need be reported.

**Note:** If you receive food, transportation, lodging, and entertainment or a reimbursement of official travel expenses from a non-profit tax-exempt institution categorized by the IRS as one falling within the terms of 26 U.S.C. § 501(c)(3), you must report the name of the organization, a brief description of the in-kind services or the reimbursement and the value. If known, you may also wish to note the date you received the required written approval from your agency to accept such items. See 5 U.S.C. § 4111 and 5 C.F.R. Part 410, Subpart E. You do **not** have to report an official reimbursement received **by the agency** since it will not be received by you in your personal capacity (nor by your spouse or dependent child). See 31 U.S.C. § 1353 (or other agency statute) and 41 C.F.R. Chapter 304.

## Schedule C

### I. Part I-Liabilities

#### A. General Instructions

The Act requires you to disclose certain of your financial liabilities. The examples on the form show how to report a mortgage on real estate the reporting individual held for the production of income and a promissory note. Note that you will need to disclose the date, interest rate and term (if applicable) of each liability. Also note you must disclose the highest amount owed on any liability held

during the reporting period. If the liability period, you may also n

### B. Items to Report

Identify and give the ca which **you, your spouse** any creditor which exc the reporting period, ex

1. a personal liability child, or to a parent, br spouse or dependent ch

2. a mortgage or hon property which is the residence not used f your spouse;

3. a loan secured by a p furniture, or appliances the purchase price of th

4. a revolving charge liability did not excee reporting period, and

5. any liability of your represents the sole fina the spouse or child, knowledge, and which assets, or activities, ar derive nor expect to d benefit.

You are required to non-public company, i in which you, your sp interest, unless (1) th primary trade or busin you on Schedule A, c i n v e s t m e n t

sections V.e. and f. of the General Instructions preceding those for Schedule A.)

### C. What to Show on the Form

Under CREDITORS (NAME AND ADDRESS), show the name and address of the actual creditor unless the reporting individual is only able to identify a fiduciary and certifies in the report that he has made a good faith effort to determine who the actual creditor is and was unable to do so, or upon his certification that such determination is otherwise impracticable. Under TYPE OF LIABILITY, briefly indicate the nature of the liability. Under DATE, enter date loan incurred; under INTEREST RATE, note the set rate or, if a variable one, the formula used to vary the rate, i.e. prime + 2%; and under TERM, show the duration of the loan. Check the category of value for the highest amount owed during the reporting period.

## II. Part II-Agreements or Arrangements

### A. General Instructions and Items to Report

Provide information regarding any agreements or arrangement you have concerning (1) future employment; (2) a leave of absence during your period of Government service; (3) continuation of payments by a former employer other than the United States Government; and (4) continuing participation in an employee welfare or benefit plan maintained by a former employer other than United States Government retirement benefits. This includes any agreements or arrangements with a future employer entered into by a termination filer. The example on the form shows the severance agreement under which the reporting individual expects to receive a lump sum payment from the law firm he has left in order to enter the Government. (Also note the related asset and income reported in the second example on Schedule A of the form.)

For purposes of public disclosure, you must disclose any negotiations for future employment from the point you and a potential non-Federal employer have agreed to your future employment by that employer whether or not you have settled all of the terms, such as salary, title, benefits, and date employment is to begin. Your agency may require internal disclosure of negotiations much earlier and you should seek guidance before conducting any negotiations with persons with whom you do business. A criminal statute, 18 U.S.C. § 208, applies to official actions you may take while negotiating future employment.

### B. What to Show on the Form

Under STATUS AND TERMS, describe the agreement or arrangement with appropriate specificity. Under PARTIES, show the name of the organization, or entity, and (if applicable) the name and title of the official, corporate officer, or principal person responsible for carrying out the terms of the agreement or arrangement. Under DATE, show the date of any such arrangement. **No report is required regarding any agreement or arrangement entered into by a spouse or dependent child.**

## Schedule D

## I. Part I-Outside Positions

### A. Items to Report

Report all outside positions held at any time during the reporting period, as well as those positions you currently hold as an officer, director, trustee, general partner, proprietor, representative, employee or consultant of (1) any corporation, company, firm, partnership, trust, or other business enterprise; (2) any non-profit organization; (3) any labor organization; (4) any educational institution; or (5) any organization other than the United States Government. **Exclude** positions

held in any religious, social, or fraternal organization and any positions solely for honor or for the purpose of receiving honoraria received from acting in an official capacity. **No report is required regarding any agreement or arrangement entered into by a spouse or dependent child.**

### B. What to Show on the Form

Give the name, address, and telephone number of the organization, the description of the position, and the compensation received. If you currently hold a position, note the date you began the position.

## II. Part II-Compensation from One Source

### A. General Instructions

**This Part is to be completed only by those reporting compensation in excess of \$10,000 from one source during the reporting period.** You must report compensation in excess of \$10,000 from one source during the reporting period for whom you performed services even though that compensation is not reported on your salary or other compensation report. Examples on the form show the business affiliation of the reporting individual's compensation client of the firm for whom you personally provided services. This Part does not require reporting compensation for these services if the compensation has been reported on Schedule A of the form. If you have a business affiliation with a firm during the reporting period for Schedule A, the business affiliation must appear only in this

## B. Items to Report

Report the nature of the duties performed or services rendered for any person (other than the United States Government) from which compensation in excess of \$5,000 in either of the two preceding calendar years or the present calendar year was received by you or an entity which billed for your services (business affiliation). **Exclude:** (1) information to the extent that it is considered confidential as a result of a privileged relationship established by law, or (2) information about persons for whom services were provided by a business affiliation of which you were a member, partner or employee unless you were directly involved in the provision of the services. The name of a client of a law firm is not generally considered confidential. **No report is required regarding compensation paid to your spouse or dependent child.**

Under SOURCE, give the name and address of the person to whom services were provided, for example, "Newark Real Estate Co. (Newark, NJ)"; and under BRIEF DESCRIPTION, the title or other brief functional description of the services rendered, for example: "tax matters researched for above firm while an associate with Quinn and Ouspensky."

### Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., and 5 C.F.R. Part 2634 of the Office of Government Ethics regulations require the reporting of this information. The primary use of the information on this report is for review by Government officials to determine compliance with applicable Federal laws and regulations. This report

may also be disclosed upon request to any requesting person pursuant to section 105 of the Act or as otherwise authorized by law. You may inspect applications for public access of your own form upon request. Additional disclosures of the information on this report may be made: (1) to a Federal, State, or local law enforcement agency if the disclosing agency becomes aware of a violation or potential violation of law or regulation; (2) to a court or party in a court or Federal administrative proceeding if the Government is a party or in order to comply with a judge-issued subpoena; (3) to a source when necessary to obtain information relevant to a conflict of interest investigation or decision; (4) to the National Archives and Records Administration or the General Services Administration in records management inspections; (5) to the Office of Management and Budget (OMB) during legislative coordination on private relief legislation; and (6) in response to a request for discovery or for the appearance of a witness in a judicial or administrative proceeding, if the information is relevant to the subject matter. See also the OGE/GOVT-1 executive branchwide Privacy Act system of records. Knowing and willful falsification of information, or failure to file or report information required to be reported by section 102 of the Act, may subject you to a civil monetary penalty and to disciplinary action by your employing agency or other appropriate authority under section 104 of the Act. Knowing and willful falsification of information required to be filed by section 102 of the Act may also subject you to criminal prosecution.

### Public Burden Information

This collection of information is estimated to take an average of three hours per response, including time for reviewing the instructions, gathering the data needed, and completing the form. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Associate Director for Administration,

U.S. Office of Government Ethics  
1201 New York Avenue, NW  
Washington, DC 20005-3917. **Do not** fax to this address; submit the report on page 3.

Pursuant to the Paperwork Reduction Project, an agency may not contact you without being required to respond to, it displays a currently valid OMB number, 3209-0001, in the right-hand corner of the form (page 278).

### Important Note on Reporting Category Items on Schedules 278:

For assets, income, transfers, and liabilities, report in the appropriate column. For such items as dependent children, either singly or jointly, you must make a value, as appropriate. For liabilities, the highest category is \$5,000,000; \$5,000,000 to \$50,000,000; and over \$50,000,000. Asterisks (\*) indicate high requirements.

# Executive Branch Personnel PUBLIC FINANCIAL DISCLOSURE REPORT

|  |   |                                       |   |  |   |   |
|--|---|---------------------------------------|---|--|---|---|
| Date of Appointment, Candidacy, Election, or Nomination (Month, Day, Year)   | <b>Reporting Status</b><br>(Check Appropriate Boxes)              | Incumbent<br><input type="checkbox"/> | Calendar Year Covered by Report<br><input type="text"/> | New Entrant, Nominee, or Candidate<br><input type="checkbox"/> | Termination Filer<br><input type="checkbox"/> | Termination Date (If Applicable) (Month, Day, Year)<br><input type="text"/> |
| <b>Reporting Individual's Name</b>   | Last Name   |                                       |   | First Name and Middle Initial                                  |   |   |
|  | <input type="text"/>  |                                       |   | <input type="text"/>   |   |   |
| <b>Position for Which Filing</b>   | Title of Position   |                                       |   | Department or Agency (If Applicable)                           |   |   |
|  | <input type="text"/>  |                                       |   | <input type="text"/>   |   |   |
| <b>Location of Present Office</b><br>(or forwarding address)   | Address (Number, Street, City, State, and ZIP Code)               |                                       |   |  | Telephone No. (Include Area Code)             |   |
|  | <input type="text"/>  |                                       |   |  | <input type="text"/>                          |   |
| Position(s) Held with the Federal Government During the Preceding 12 Months (If Not Same as Above)   | Title of Position(s) and Date(s) Held                             |                                       |   |  |   |   |
|  | <input type="text"/>  |                                       |   |  |   |   |
| <b>Presidential Nominees Subject to Senate Confirmation</b>  | Name of Congressional Committee Considering Nomination            |                                       |   | Do You Intend to Create a Qualified Diversified Trust?         |   |   |
|  | <input type="text"/>  |                                       |   | <input type="checkbox"/> Yes <input type="checkbox"/> No       |   |   |
| <b>Certification</b>   | Signature of Reporting Individual                                 |                                       |   |  | Date (Month, Day, Year)                       |   |
| I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge.  | <input type="text"/>  |                                       |   |  | <input type="text"/>                          |   |
| <b>Other Review</b><br>(If desired by agency)  | Signature of Other Reviewer                                       |                                       |   |  | Date (Month, Day, Year)                       |   |
|  | <input type="text"/>  |                                       |   |  | <input type="text"/>                          |   |
| <b>Agency Ethics Official's Opinion</b>  | Signature of Designated Agency Ethics Official/Reviewing Official |                                       |   |  | Date (Month, Day, Year)                       |   |
| On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments in the box below).                              | <input type="text"/>  |                                       |   |  | <input type="text"/>                          |   |
| <b>Office of Government Ethics Use Only</b>  | Signature   |                                       |   |  | Date (Month, Day, Year)                       |   |
|  | <input type="text"/>  |                                       |   |  | <input type="text"/>                          |   |
| Comments of Reviewing Officials (If additional space is required, use the reverse side of this sheet)  |   |                                       |   |  |   |   |
| <div>(Check box if filing extension granted &amp; indicate number of days _____ ) <input type="checkbox"/></div> <div>(Check box if comments are continued on the reverse side) <input type="checkbox"/></div> |   |                                       |   |  |   |   |

|  |                                    |   |                    |                     |                      |                       |                       |                         |                   |                           |                            |                             |                   |                          |   |                 |           |                    |          |               |                           |                 |                   |                   |                    |                     |  |
|--|------------------------------------|---|--------------------|---------------------|----------------------|-----------------------|-----------------------|-------------------------|-------------------|---------------------------|----------------------------|-----------------------------|-------------------|--------------------------|---|-----------------|-----------|--------------------|----------|---------------|---------------------------|-----------------|-------------------|-------------------|--------------------|---------------------|--|
| Reporting Individual's Name  |                                    | SCHEDULE A  |                    |                     |                      |                       |                       |                         |                   |                           |                            |                             |                   |                          |   |                 |           |                    |          |               |                           |                 |                   |                   |                    |                     |  |
| Assets and Income  |                                    | Valuation of Assets<br>at close of reporting period |                    |                     |                      |                       |                       |                         |                   |                           |                            |                             |                   |                          | Income: type and amount. If "I<br>no other entry is needed in Block A |                 |           |                    |          |               |                           |                 |                   |                   |                    |                     |  |
| BLOCK A  |                                    | BLOCK B   |                    |                     |                      |                       |                       |                         |                   |                           |                            |                             |                   |                          | BLOCK C   |                 |           |                    |          |               |                           |                 |                   |                   |                    |                     |  |
| For you, your spouse, and dependent children, report each asset held for investment or the production of income which had a fair market value exceeding \$1,000 at the close of the reporting period, or which generated more than \$200 in income during the reporting period, together with such income. For yourself, also report the source and actual amount of earned income exceeding \$200 (other than from the U.S. Government). For your spouse, report the source but not the amount of earned income of more than \$1,000 (except report the actual amount of any honoraria over \$200 of your spouse).<br>None <input type="checkbox"/> |                                    | None (or less than \$1,001)                         | \$1,001 - \$15,000 | \$15,001 - \$50,000 | \$50,001 - \$100,000 | \$100,001 - \$250,000 | \$250,001 - \$500,000 | \$500,001 - \$1,000,000 | Over \$1,000,000* | \$1,000,001 - \$5,000,000 | \$5,000,001 - \$25,000,000 | \$25,000,001 - \$50,000,000 | Over \$50,000,000 | Excepted Investment Fund | Excepted Trust  | Qualified Trust | Type      |                    |          |               | None (or less than \$201) | \$201 - \$1,000 | \$1,001 - \$2,500 | \$2,501 - \$5,000 | \$5,001 - \$15,000 | \$15,001 - \$50,000 |  |
|  |                                    |   |                    |                     |                      |                       |                       |                         |                   |                           |                            |                             |                   |                          |   |                 | Dividends | Rent and Royalties | Interest | Capital Gains |                           |                 |                   |                   |                    |                     |  |
| Examples   | Central Airlines Common            |   |                    |                     | x                    |                       |                       |                         |                   |                           |                            |                             |                   |                          |   |                 |           | x                  |          |               |                           |                 | x                 |                   |                    |                     |  |
|  | Doe Jones & Smith, Hometown, State |   |                    | x                   |                      |                       |                       |                         |                   |                           |                            |                             |                   |                          |   |                 |           |                    |          |               |                           |                 |                   |                   |                    |                     |  |
|  | Kempstone Equity Fund              |   |                    |                     |                      | x                     |                       |                         |                   |                           |                            |                             |                   | x                        |   |                 |           |                    |          |               |                           |                 | x                 |                   |                    |                     |  |
|  | IRA: Heartland 500 Index Fund      |   |                    |                     |                      |                       |                       | x                       |                   |                           |                            |                             |                   |                          | x   |                 |           |                    |          |               |                           |                 |                   |                   | x                  |                     |  |
| 1  |                                    |   |                    |                     |                      |                       |                       |                         |                   |                           |                            |                             |                   |                          |   |                 |           |                    |          |               |                           |                 |                   |                   |                    |                     |  |
| 2  |                                    |   |                    |                     |                      |                       |                       |                         |                   |                           |                            |                             |                   |                          |   |                 |           |                    |          |               |                           |                 |                   |                   |                    |                     |  |
| 3  |                                    |   |                    |                     |                      |                       |                       |                         |                   |                           |                            |                             |                   |                          |   |                 |           |                    |          |               |                           |                 |                   |                   |                    |                     |  |
| 4  |                                    |   |                    |                     |                      |                       |                       |                         |                   |                           |                            |                             |                   |                          |   |                 |           |                    |          |               |                           |                 |                   |                   |                    |                     |  |
| 5  |                                    |   |                    |                     |                      |                       |                       |                         |                   |                           |                            |                             |                   |                          |   |                 |           |                    |          |               |                           |                 |                   |                   |                    |                     |  |
| 6  |                                    |   |                    |                     |                      |                       |                       |                         |                   |                           |                            |                             |                   |                          |   |                 |           |                    |          |               |                           |                 |                   |                   |                    |                     |  |
| * This category applies only if the asset/income is solely that of the filer's spouse or dependent children. If the asset/income is either that of the filer or jointly held by the filer with the spouse children, mark the other higher categories of value, as appropriate.   |                                    |   |                    |                     |                      |                       |                       |                         |                   |                           |                            |                             |                   |                          |   |                 |           |                    |          |               |                           |                 |                   |                   |                    |                     |  |

SCHEDULE A continued  
(Use only if needed)

| Assets and Income |  | Valuation of Assets<br>at close of reporting period |                    |                     |                      |                       |                       |                         |                   |                           |                            |                             |                   |                          | Income: type and amount. If "I" is checked, no other entry is needed in Block A |                 |           |                    |          |               |                           |                 |                   |                   |                    |                     |  |  |
|-------------------|--|---|--------------------|---------------------|----------------------|-----------------------|-----------------------|-------------------------|-------------------|---------------------------|----------------------------|-----------------------------|-------------------|--------------------------|---|-----------------|-----------|--------------------|----------|---------------|---------------------------|-----------------|-------------------|-------------------|--------------------|---------------------|--|--|
| BLOCK A           |  | BLOCK B   |                    |                     |                      |                       |                       |                         |                   |                           |                            |                             |                   |                          | BLOCK C   |                 |           |                    |          |               |                           |                 |                   |                   |                    |                     |  |  |
|                   |  | None (or less than \$1,001)                         | \$1,001 - \$15,000 | \$15,001 - \$50,000 | \$50,001 - \$100,000 | \$100,001 - \$250,000 | \$250,001 - \$500,000 | \$500,001 - \$1,000,000 | Over \$1,000,000* | \$1,000,001 - \$5,000,000 | \$5,000,001 - \$25,000,000 | \$25,000,001 - \$50,000,000 | Over \$50,000,000 | Excepted Investment Fund | Excepted Trust  | Qualified Trust | Type      |                    |          |               | Amount                    |                 |                   |                   |                    |                     |  |  |
|                   |  |   |                    |                     |                      |                       |                       |                         |                   |                           |                            |                             |                   |                          |   |                 | Dividends | Rent and Royalties | Interest | Capital Gains | None (or less than \$201) | \$201 - \$1,000 | \$1,001 - \$2,500 | \$2,501 - \$5,000 | \$5,001 - \$15,000 | \$15,001 - \$50,000 |  |  |
| 1                 |  |   |                    |                     |                      |                       |                       |                         |                   |                           |                            |                             |                   |                          |   |                 |           |                    |          |               |                           |                 |                   |                   |                    |                     |  |  |
| 2                 |  |   |                    |                     |                      |                       |                       |                         |                   |                           |                            |                             |                   |                          |   |                 |           |                    |          |               |                           |                 |                   |                   |                    |                     |  |  |
| 3                 |  |   |                    |                     |                      |                       |                       |                         |                   |                           |                            |                             |                   |                          |   |                 |           |                    |          |               |                           |                 |                   |                   |                    |                     |  |  |
| 4                 |  |   |                    |                     |                      |                       |                       |                         |                   |                           |                            |                             |                   |                          |   |                 |           |                    |          |               |                           |                 |                   |                   |                    |                     |  |  |
| 5                 |  |   |                    |                     |                      |                       |                       |                         |                   |                           |                            |                             |                   |                          |   |                 |           |                    |          |               |                           |                 |                   |                   |                    |                     |  |  |
| 6                 |  |   |                    |                     |                      |                       |                       |                         |                   |                           |                            |                             |                   |                          |   |                 |           |                    |          |               |                           |                 |                   |                   |                    |                     |  |  |
| 7.                |  |   |                    |                     |                      |                       |                       |                         |                   |                           |                            |                             |                   |                          |   |                 |           |                    |          |               |                           |                 |                   |                   |                    |                     |  |  |
| 8                 |  |   |                    |                     |                      |                       |                       |                         |                   |                           |                            |                             |                   |                          |   |                 |           |                    |          |               |                           |                 |                   |                   |                    |                     |  |  |
| 9                 |  |   |                    |                     |                      |                       |                       |                         |                   |                           |                            |                             |                   |                          |   |                 |           |                    |          |               |                           |                 |                   |                   |                    |                     |  |  |

\* This category applies only if the asset/income is solely that of the filer's spouse or dependent children. If the asset/income is either that of the filer or jointly held by the filer with the spouse children, mark the other higher categories of value, as appropriate.

SCHEDULE B

Part I: Transactions

Report any purchase, sale, or exchange by you, your spouse, or dependent children during the reporting period of any real property, stocks, bonds, commodity futures, and other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a

Do not report a transaction involving property used solely as your personal residence, or a transaction solely between you, your spouse, or dependent child. Check the "Certificate of divestiture" block to indicate sales made pursuant to a

None ☐

|   | Identification of Assets |                         | Transaction Type (x) |      |          | Date (Mo, Day, Yr.) |                    |                     |                      |   |
|---|--------------------------|-------------------------|----------------------|------|----------|---------------------|--------------------|---------------------|----------------------|---|
|   |                          |                         | Purchase             | Sale | Exchange |                     | \$1,001 - \$15,000 | \$15,001 - \$50,000 | \$50,001 - \$100,000 |   |
|   | Example                  | Central Airlines Common | x                    |      |          | 2/1/99              |                    |                     |                      | x |
| 1 |                          |                         |                      |      |          |                     |                    |                     |                      |   |
| 2 |                          |                         |                      |      |          |                     |                    |                     |                      |   |
| 3 |                          |                         |                      |      |          |                     |                    |                     |                      |   |
| 4 |                          |                         |                      |      |          |                     |                    |                     |                      |   |
| 5 |                          |                         |                      |      |          |                     |                    |                     |                      |   |

\* This category applies only if the asset/income is solely that of the filer's spouse or dependent children. If the asset/income is either that of the filer or jointly held by the filer with the spouse children, mark the other higher categories of value, as appropriate.

Part II: Gifts, Reimbursements, and Travel Expenses

For you, your spouse and dependent children, report the source, a brief description, and the value of: (1) gifts (such as tangible items, transportation, lodging, food, or entertainment) received from one source totaling more than \$260, and (2) travel-related cash reimbursements received from one source totaling more than \$260. For conflicts analysis, it is helpful to indicate a basis for receipt, such as personal friend, agency approval under 5 U.S.C. § 4111 or other statutory authority, etc. For travel-related gifts and reimbursements,

the U.S. Government; given to your agency in connection with official duties; received by you or your spouse or dependent child totally in your own interest; received by your spouse or dependent child totally in his or her own interest; or provided as personal hospitality at the donor's residence aggregating gifts to determine the total value from one source, etc. See instructions for other exclusions.

|   | Source (Name and Address)              |  | Brief Description  |
|---|--|--|--|
|   | Examples                               |  |  |
|   | Nat'l Assn. of Rock Collectors, NY, NY |  | Airline ticket, hotel room & meals incident to national conference 6/15/99 (personal activity unrelated to duty) |
|   | Frank Jones, San Francisco, CA         |  | Leather briefcase (personal friend)  |
| 1 |  |  |  |
| 2 |  |  |  |
| 3 |  |  |  |
| 4 |  |  |  |
| 5 |  |  |  |

Reporting Individual's Name

SCHEDULE B continued  
(Use only if needed)

Part I: Transactions

|                          |  | Transaction Type (x) |      |          | Date (Mo, Day, Yr.) |                    |                     |                      |  |
|--------------------------|--|----------------------|------|----------|---------------------|--------------------|---------------------|----------------------|--|
|                          |  | Purchase             | Sale | Exchange |                     | \$1,001 - \$15,000 | \$15,001 - \$50,000 | \$50,001 - \$100,000 |  |
| Identification of Assets |  |                      |      |          |                     |                    |                     |                      |  |
| 1                        |  |                      |      |          |                     |                    |                     |                      |  |
| 2                        |  |                      |      |          |                     |                    |                     |                      |  |
| 3                        |  |                      |      |          |                     |                    |                     |                      |  |
| 4                        |  |                      |      |          |                     |                    |                     |                      |  |
| 5                        |  |                      |      |          |                     |                    |                     |                      |  |
| 6                        |  |                      |      |          |                     |                    |                     |                      |  |
| 7                        |  |                      |      |          |                     |                    |                     |                      |  |
| 8                        |  |                      |      |          |                     |                    |                     |                      |  |
| 9                        |  |                      |      |          |                     |                    |                     |                      |  |
| 10                       |  |                      |      |          |                     |                    |                     |                      |  |
| 11                       |  |                      |      |          |                     |                    |                     |                      |  |
| 12                       |  |                      |      |          |                     |                    |                     |                      |  |
| 13                       |  |                      |      |          |                     |                    |                     |                      |  |
| 14                       |  |                      |      |          |                     |                    |                     |                      |  |
| 15                       |  |                      |      |          |                     |                    |                     |                      |  |
| 16                       |  |                      |      |          |                     |                    |                     |                      |  |

\* This category applies only if the asset/income is solely that of the filer's spouse or dependent children. If the asset/income is either that of the filer or jointly held by the filer with the spouse children, mark the other higher categories of value, as appropriate.



|                             |                       |
|-----------------------------|-----------------------|
| Reporting Individual's Name | <div>SCHEDULE C</div> |
|-----------------------------|-----------------------|

Part I: Liabilities

Report liabilities over \$10,000 owed to any one creditor at **any time** during the reporting period by you, your spouse, or dependent children. Check the highest amount owed during the reporting period. **Exclude**

a mortgage on you personal residence unless it is rented out; loans secured by automobiles, household furniture or appliances; and liabilities owed to certain relatives listed in instructions. See instructions for revolving charge accounts.

None ☐

| Creditors (Name and Address)                    | Type of Liability                     | Date Incurred | Interest Rate | Term if applicable | \$10,001 - \$15,000 | \$15,001 - \$50,000 | \$50,001 - \$100,000 |
|---|---------------------------------------|---------------|---------------|--------------------|---------------------|---------------------|----------------------|
| Examples<br>First District Bank, Washington, DC | Mortgage on rental property, Delaware | 1991          | 8%            | 25 yrs.            |                     |                     | x                    |
| John Jones, 123 J St., Washington, DC           | Promissory note                       | 1999          | 10%           | on demand          |                     |                     |                      |
| 1   |                                       |               |               |                    |                     |                     |                      |
| 2   |                                       |               |               |                    |                     |                     |                      |
| 3   |                                       |               |               |                    |                     |                     |                      |
| 4   |                                       |               |               |                    |                     |                     |                      |
| 5   |                                       |               |               |                    |                     |                     |                      |

Part II: Agreements or Arrangements

Report your agreements or arrangements for: (1) continuing participation in an employee benefit plan (e.g. pension, 401K, deferred compensation); (2) continuation of payment by a former employer (including severance payments); (3) leaves

of absence; and (4) future employment. See instructions regarding of these arrangements or benefits.

|                             |                   |
|-----------------------------|-------------------|
| Reporting Individual's Name | <b>SCHEDULE D</b> |
|-----------------------------|-------------------|

**Part I: Positions Held Outside U.S. Government**  
Report any positions held during the applicable reporting period, whether compensated or not. Positions include but are not limited to those of an officer, director, trustee, general partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise or any non-profit organization or educational institution. **Exclude** positions fraternal, or political entities and those solely of an honor.

| Organization (Name and Address) |  | Type of Organization | Position Held |
|---------------------------------|--|----------------------|---------------|
| Examples                        | Nat'l Assn. of Rock Collectors, NY, NY | Non-profit education | President     |
|                                 | Doe Jones & Smith, Hometown, State     | Law firm             | Partner       |
| 1                               |  |                      |               |
| 2                               |  |                      |               |
| 3                               |  |                      |               |
| 4                               |  |                      |               |
| 5                               |  |                      |               |
| 6                               |  |                      |               |

**Part II: Compensation In Excess Of \$5,000 Paid by One Source**  
Report sources of more than \$5,000 compensation received by you or your business affiliation for services provided directly by you during any one year of the reporting period. This includes the names of clients and customers of any corporation, firm, partnership, or other business enterprise, or any other non-profit organization when you directly provided the services generating a fee or payment of more than \$5,000. You do not report compensation received from the U.S. Government as a source.

**Do not complete this section if you are an Incumbent or Presidential Appointee.**

| Source (Name and Address) |  | Brief Description of Duties                               |
|---------------------------|--|---|
| Examples                  | Doe Jones & Smith, Hometown, State                               | Legal services  |
|                           | Metro University (client of Doe Jones & Smith), Moneytown, State | Legal services in connection with university construction |
| 1                         |  |   |
| 2                         |  |   |
| 3                         |  |   |
| 4                         |  |   |
| 5                         |  |   |
| 6                         |  |   |